

California Air Resource Board
INSTRUCTIONS FOR AIR CLEANING DEVICE CERTIFICATION APPLICATION
VERSION 2.0

General Instructions

This application is provided by the California Air Resources Board (ARB). These instructions are intended to guide you through the air cleaner certification process in accordance with Title 17, California Code of Regulations, subchapter 8.7 “Indoor Air Cleaning Devices”, Section 94804. Please read the following instructions prior to filling out the application, and make sure that the application is complete prior to submitting it to ARB. Submitting an incomplete application will delay the certification process and/or may result in your application being rejected. If you have any questions regarding this application or the procedure described here please contact Ryan Johnson at (916) 323-2190 or via email at aircleaners@listserv.arb.ca.gov.

The application should be filled out and submitted electronically when feasible. Electronic applications may either be sent via email or mailed to ARB on a CD. The application may be viewed, filled out electronically, and saved using Adobe Reader, which is a free download on the Adobe website (<http://get.adobe.com/reader/otherversions/>). All applications must include the required signatures. Signatures should be submitted electronically with the electronic form when feasible; however, a hardcopy of the form with the appropriate hand-written signatures may be printed and mailed to ARB. If the application is filled in by hand, please do so in dark blue or black ink. It may be necessary to submit some schematics or other documents in hard copy form; in such cases, we would nonetheless appreciate receiving the application form electronically when feasible in order to expedite the application review process.

Who should fill out the application?

The application is composed of seven sections. Sections A through D (pages 1-3) are to be completed and signed by the manufacturer or a professional association or certification organization on behalf of the manufacturer. Sections E and F (pages 4-5) are to be completed and signed by the test facility where testing is conducted according to Section 37 of ANSI/UL Standard 867, Fourth Edition, as published December 21, 2007; or, for mechanical-filtration-only devices, the relevant ANSI/UL Standard. For most mechanical-filtration-only devices the relevant standard will be ANSI/UL Standard 507 for Electric Fans, Ninth Edition, published September 27, 2007, but multifunction devices that contain an air cleaning function should be tested to the ANSI/UL Standard under which they are typically tested. Section G is reserved for additional comments. Please note that all pages of the application form must be submitted together.

At the bottom of each of the Sections A through D a box is provided to allow designation of the information in that section as proprietary. Such information will be kept confidential to the extent allowed by law. ARB lists certified models on its website at <http://www.arb.ca.gov/research/indoor/aircleaners/certified.htm>, but only the brand name, model name, and/or number are listed.

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Section A. Applicant Information

Section A.1 is to be filled out by the manufacturer or their representative. This may be the actual producer of the air cleaner or the brand name company that designed the air cleaner, and that has contracted production and/or conducts the primary marketing for the air cleaner. It may also be a business association or certification organization that represents the manufacturer. Please fill in the company name and address completely. The primary contact should be someone who will be readily available to answer questions that may arise regarding the submitted application and/or attachments.

In Section A.2, please provide contact information for the primary brand name company or retailer for whom the product is manufactured. If the model is produced for multiple brand name companies, please attach a list with contact information for all such companies.

In Section A.3, please provide contact information for the actual manufacturer of the air cleaner model tested, if different from A.1.

Section B. Manufacturer Representative Information

If you are a professional association or certification organization and are filling out the application as a business representative of the manufacturer, please fill out Section B in addition to section A. Please be sure to include all pertinent contact information.

Section C. Indoor Air Cleaning Device Information

Section C.1 must be completed on all applications submitted to ARB. Please list all pertinent information required to identify the device being tested. If you are requesting that a model be added to the model group of a device that has already been certified, you must complete Section C.2 of the application.

To obtain certification for additional models in the same model group as the device listed in C.1, in Section C.3 list all devices belonging to the same model group as the primary device being certified, and describe how each model varies from the model being tested. The responsible party, typically the primary contact listed in Section A.1, **must sign and date** the statement at the bottom of the page to verify that the models listed all belong to the same model group based on ARB's definition of model group*. Scanned images of signatures are acceptable. To add a scanned image of your signature, first scan your signature and save it as an image file (saving the file in the

* "Model group" means indoor air cleaning devices sharing the same design, operational features, device output, and performance characteristics, and manufactured by the same manufacturer. Units in the same model group may be marketed under different brand names. Units that differ only in decorative treatments such as color, remote control, or other cosmetic features not related to ozone output would belong to the same model group.

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“.jpeg” format is suggested), then click on the space above the signature line, find the location of the image file on your computer, and click “Select” to insert it.

Section D. Device Design and Operation

Section D.1. Clearly describe the design and function of the air cleaner being certified, and how it is operated. Attach schematics and any additional documentation sufficient to verify the design and operation principles. Please also use this space to reference page numbers and headings of all attachments that are pertinent to Section D.1. If there is a functional difference between the model being tested and the model(s) listed in Section C.3, then attach schematics of the model(s) listed in Section C.3, and clearly indicate where those differences lie. Schematics are not needed for models listed in Section C.3 that differ only by color or other cosmetic characteristics.

Section D.2. Thoroughly describe all regular maintenance requirements or suggestions, and reference page numbers and headings of all attachments that are pertinent to section D.2.

Devices that do not require ozone emissions testing, i.e. mechanical-filtration-only devices, must undergo ANSI/UL Standard 507 testing, or for multifunction devices, testing under the applicable ANSI/UL Standard. Documentation of such testing must be submitted with the application. Different documentation is required depending on when the device was tested:

Mechanical-filtration-only devices tested prior to or on October 18, 2008. Complete Section D.3. Mechanical-filtration-only devices certified to ANSI/UL Standard 507 or to another applicable ANSI/UL Standard for their electrical safety prior to this date do not require further testing provided that they continue to comply with ANSI/UL Standard 507 or the relevant ANSI/UL Standard.

Completion of Sections E and F.1 by the certification organization that conducted the testing and the signature of the responsible party from the test laboratory, or a suitable laboratory representative, at the bottom of page 5 is the preferred method of documentation, and may help expedite the review and approval of your application.

Documents from the testing laboratory that confirm compliance of the specific model submitted to ARB for certification may also be adequate documentation; examples of such documents include:

Underwriter’s Laboratories, Inc.[†]

Notice of Authorization
Certificate of Compliance
A complete copy of the final test report

[†] ARB does not consider a UL Notice of Project Completion to be adequate documentation of compliance with a given ANSI/UL Standard.

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Intertek (formerly ETL)

Authorization to Mark

Canadian Standards Association

Certificate of Compliance

Additionally, in a few cases, a copy of the device's listing from the certification organization's online database may be acceptable, but it must indicate the current date and the specific model name and number for which certification is sought—reference to a similar model or the device's model family is not sufficient.

Mechanical-filtration-only devices tested after October 18, 2008. All such devices must be tested according to ANSI/UL Standard 507 for Electric Fans, Ninth Edition, September 27, 2007, or the relevant ANSI/UL Standard. Testing must be conducted by a laboratory currently recognized as a Nationally Recognized Testing Laboratory (NRTL) by the U.S. Occupational Safety and Health Administration (OSHA), to perform testing for ANSI/UL Standard 507 or the relevant ANSI/UL Standard. It is anticipated that final State approval will be granted in Spring 2010 for acceptance of testing under [Programs 2 through 6](#), and [10](#) for electrical safety testing. In addition, the laboratory that tests the device must fill out Sections E and F.1 of the certification application, **and they must sign and date the application at the bottom of page five.**

If the device also uses an alternative filtration mechanism such as an electric corona, charged plates, generation of ions, or ultraviolet (UV) light, then it does not qualify as a mechanical-filtration-only device and must meet the Section 37 requirements of UL Standard 867.

Section D.4, marketing materials and owner's manuals must be included with the application, if available.

Signature requirements for Sections A through D

The manufacturer or their representative **must print their name and sign and date the form** at the bottom of page three verifying that the information provided in Sections A through D is true and correct.

Section E. Air Cleaner Test Information

For all air cleaners other than mechanical-filtration-only devices, this section must be filled out by a testing laboratory that has been approved by ARB to carry out testing according to Section 37 of UL Standard 867, Fourth Edition, as published December 21, 2007. Include all pertinent contact information for the primary contact

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person at the testing laboratory. Please provide a reference to the laboratory document that contains the results of the ozone emission test in the space labeled "Test Document". Please also identify the chamber used to obtain the test results.

Devices using mechanical filtration only. If the device was tested according to ANSI/UL Standard 507, or another relevant ANSI/UL Standard, after October 18, 2008 then this section must be filled out by the laboratory that tested the device. Include all pertinent contact information for the primary contact person at the testing laboratory. If the ANSI/UL safety testing was completed on or before October 18, 2008, the manufacturer or their identifying representative may fill in the information for the laboratory that previously conducted the test, but must provide the documentation described above for Section D.3. In Section F.1 also indicate the ANSI/UL Standard under which the device was tested.

Section F. Air Cleaner Test Results

This section must be filled out by the testing laboratory that has been approved by ARB to carry out testing according to Section 37 of UL Standard 867, Fourth Edition, as published December 21, 2007; or, for mechanical-filtration-only devices tested after October 18, 2008, the laboratory that conducted the ANSI/UL Standard 507, or other relevant ANSI/UL Standard, testing. In Section F.1 please indicate which ANSI/UL electrical safety standard the device has passed. If the device uses mechanical filtration only, then ozone test results are not required. Please indicate which OSHA supplemental programs, if any, were used to conduct the electrical safety testing, and provide the information on the units tested in item 2.

Please answer "yes" or "no" to questions (a) through (f). If the device was not tested with all filters removed indicate the reason in the "Filter Removal" section. Report ozone test results in the table provided on page 5. If the device was tested at multiple speeds or output levels, report the maximum concentration at each setting. Report all ozone test results as the maximum ozone concentration minus the background ozone concentration for the chamber. Be sure to list any test failures or exceedances, and any transitory measurements that exceeded 0.050 ppm. All portions of Section F must be completed; please indicate "NA" where an item is not applicable.

Please also **attach a chain of custody form for the device tested.** The chain of custody form should contain names, dates, and initials of each party that received and/or relinquished the device prior to the submittal of the application to the Air Resources Board. The chain of custody form should also list the model number, serial number (if available), and manufacture date for the device.

Electronic devices: For electronic devices for which the ozone testing and the electrical safety testing were conducted at two different laboratories, manufacturers must have ARB's Supplemental Application form completed and signed by the laboratory that

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conducted the electrical safety testing. **Note ARB's regulation requires all units to show the safety certification or listing mark for the ANSI/UL Standard under which the device was tested; therefore, new models should be tested at the same laboratory so that the appropriate safety mark can be obtained.**

Signature Requirements for Sections E and F

For devices tested for ozone emissions, the individual responsible for the ozone testing **must print their name and sign and date the form** where indicated at the end of Section F on page 5.

Devices using mechanical-filtration-only. If the device was tested according to ANSI/UL Standard 507 or another relevant standard after October 18, 2008 then Section F.1 must be filled out by the laboratory that tested the device. Section F.2 does not need to be filled out; however, the **individual responsible for the testing the device must print their name and sign and date the form** where indicated at the end of Section F on page 5.

Section G. Additional Comments

Any additional information that the laboratory needs to communicate should be provided here. This section may also be filled out by the manufacturer submitting the application if there is additional information that they wish to convey to ARB. Section G should be signed by the party submitting the additional information.

Submittal of application and related documents

Please submit applications and related documents to Ryan Johnson of ARB at aircleaners@listserv.arb.ca.gov or mail them to:

(via U. S. mail)
Ryan Johnson
California Air Resources Board
Research Division, 5th floor
P.O. Box 2815
Sacramento, CA 95812

(via FedEx or other ground delivery)
Ryan Johnson
California Air Resources Board
Research Division, 5th floor
1001 I Street
Sacramento, CA 95814
Phone: (916) 445-0753

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If mailed or delivered, please indicate "Attention: Certification Application" on the package; if emailed please indicate this in the subject line. ARB will send a confirmation notice within 5 days of receipt of the application. Within 30 days of receipt of the application the primary contact person shown on the application will receive notification of whether the application is complete and has been accepted for review, or if incomplete, what additional information is required.

Thank you for your submittal.